

**PATENT**

(Practitioner's Docket No. IN-5553CP )

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of

Heinz-Peter RINK, et al.  
Ines MANGELS,  
Dunja MIKOLAJETZ  
Margret MÖLLMANN

Serial No.:

Group Art Unit: Not Assigned

Filed: Friday, July 18, 2003

Examiner: Not Assigned

For: SOLVENT-CONTAINING COATING MATERIAL AND THE USE THEREOF

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant(s) submit(s) herewith patents, publications, or other information, of which they are aware that they believe may be material to the examination of this application, and in respect of which, there may be a duty to disclose in accordance with 37 C.F.R. §1.56.

The filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made (37 C.F.R. 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. The filing of this Information Disclosure Statement shall not be construed as an admission against interest in any manner.

☒ Submitted herewith is Form PTO-1449 (Modified) listing patents, publications, or other information for consideration by the Office.

**COPIES PROVIDED:**

☒ Legible copies of all items listed on Form PTO-1449, page 5 accompany this information statement, except as indicated below:

☒ Under 35 U.S.C. §120, this application relies on the earlier filing date of prior application Serial No. 10/049,607, filed on February 14, 2002. The references on page 1-4 were submitted to and/or cited by the Office on this prior application and are therefore not required to be provided in this application:

☐ In accordance with 37 C.F.R. §1.98(c), a copy of only [ ] is being submitted with this Information Disclosure Statement, and is cumulative of the following patents or publications listed on Form PTO-1449:

**FOREIGN LANGUAGE DOCUMENTS**

- ☐ There are no foreign language documents listed on Form PTO-1449.
- ☐ Submitted herewith is an English translation of the following foreign language patents, publications or information or of portions of those patents, publications or information considered to be material:
- ☐ No English language translations of the foreign language patents, publications or information or parts thereof are readily available, except for those listed above.
- ☐ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:
- ☒ The following foreign language documents submitted are believed to be the equivalent or substantial equivalent of the English language documents identified below, which are also submitted herewith:

DE19709465	ABSTRACT
DE19524182	ABSTRACT
DE2848906	4,246,382
DE4421823	6,309,707
DE2359923	4,383,068
DE3807571	4,895,910
DE1805693	3,547,848
DE2751761	4,311,622
EP9554783	5,576,386
DE19709476	5,690,569
DE3636183	5,028,639
DE3706095A1	5,079,312
DE4407415	5,759,631
DE19805421	
WO00/14049 AND DE19805421	09/763,279
DE19600136	ABSTRACT
DE19805421	6,274,660

- ☒ Submitted herewith is an English language version of a search report listing information not in the English language and indicating the degree of relevancy found by the European Patent Office, in satisfaction of the requirement (under 37 C.F.R. §1.98(a)(3)) for a concise explanation of the relevance of non-English information.
- ☐ A concise explanation of the relevance of the following listed non-English language information is included as presently understood by the individual designated in 37 C.F.R. §1.56(c) most knowledgeable about the content of the information as set forth below:
- ☐ A concise explanation of the relevance of the following listed non-English language information is set forth in the above-identified specification:

Information Disclosure Statement

Page 3

**CERTIFICATION:**

☐

The Information Disclosure Statement transmitted herewith is being filed within three (3) months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last. 37 C.F.R. §1.97(b). Accordingly, it is believed that no certification or fee is due.

☐

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☐

Each statement of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of the statement; 37 C.F.R. §1.97(e)(1); **OR**

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That no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge as the person signing this certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three (3) months prior to the filing of this statement; 37 C.F.R. §1.97(e)(2); **OR**

☐

Applicant elects the option to pay the fee set forth in 37 C.F.R. §1.17(p) for submission of an information disclosure statement under 37 C.F.R. §1.97(c). Please charge the **\$240.00** IDS submission fee to BASF Corporation Deposit Account No. 23-3425. A duplicate of this paper is enclosed.

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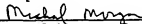
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The Commissioner is authorized to charge BASF Corporation Deposit Account No. 23-3425 for any additional fees due hereunder.

Respectfully submitted,



Michael F. Morgan, Reg No42,906  
BASF Corporation  
26701 Telegraph Road  
Southfield, Michigan 48034-2442  
Tel. No.: (248) 948-2355

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Respectfully submitted,

  
Michael F. Morgan, Reg No42,906  
BASF Corporation  
26701 Telegraph Road  
Southfield, Michigan 48034-2442  
Tel. No.: (248) 948-2355

FORM PTO-1449  
(MODIFIED)

US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5553CP

**LIST OF ART CITED BY APPLICANT**  
(Use sever of sheets if necessary)

In re Application of: RINK, et al.

Serial No.:

Filed: July 18, 2003

**U.S. PATENT DOCUMENTS**

Examiner Initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,608,012	3/4/97	Eppe et al.	525	374	5/8/95
	AB	6,376,596	4/23/02	Barsotti et al.	524	500	5/14/97
	AC	6,462,144	10/8/02	Ramesh et al.	525	438	2/26/01
	AD	6,515,192	2/4/03	Rink et al.	585	16	8/18/99
	AE						
	AF						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATED YES NO
	AG	EP 0 502 839	03.03.92	EP (1)	C08G	18/62	X
	AH	WO00/18516	06.04.00	WO	B05D		X
	AI						
	AJ						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	AK	Young H. Kim, entitled "Progress in Hyperbranched Polymers", (1999), page 61.
	AL	English Abstract on front page of the International Publication for WO00/18516
	AM	BASF Coatings AG, et al., USSN 09/470,405 filed 12/22/99.
	AP	BASF Coatings AG, et al., USSN 09/952,732 filed 9/14/01.
	AQ	BASF Coatings AG, et al., USSN 10/040,819 filed 1/7/02.
	AR	BASF Coatings AG, et al., USSN 10/106,000 filed 25.03.02.
	AS	Axel R. Brenner, et al., entitled "Hyperbranched Polymers: modification with flex Chains", (1995), Pages 176-177.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".

FORM PTO-1449 US DEPARTMENT OF COMMERCE  
(MODIFIED) PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5553CP

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In re Application of: RINK et al.

Serial No.: Herewith

Filed: Friday, July 18, 2003

**U.S. PATENT DOCUMENTS**

Examiner initial		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,759,631	6/2/98	Rink et al.	427	407.1	2/28/95
	AB	5,969,054	10/19/99	Wamprecht et al.	525	392	7/7/97
	AC	5,977,246	11/2/99	Fenn	524	590	2/10/97
	AD	5,447,998	9/5/95	Grady et al.	526	65	4/8/94
	AE	6,274,660	8/14/01	Zeller	524	379	2/3/99
	AF	5,690,569	11/25/97	Ledvina et al.	474	111	3/13/96
	AG	5,028,639	7/2/91	Treutlein et al.	523	200	10/31/90
	AH	5,079,312	1/7/92	Isozaki et al.	525	479	5/11/90
	AI	5,084,541	1/28/92	Jacobs, III et al.	528	45	5/14/90
	AJ	4,939,213	7/3/90	Jacobs, III et al.	525	329.9	12/19/88
	AK	4,710,542	12/1/87	Forgione et al.	525	127	5/16/86
	AL	4,754,014	6/28/88	Ryntz et al.	528	28	2/24/87
	AM	4,246,382	1/20/81	Honda et al.	526	79	11/6/78
	AN	6,309,707	10/30/01	Mayer et al.	427	386	12/20/96
	AO	4,383,068	5/10/83	Brandt	524	196	1/15/79
	AP	4,895,910	1/23/90	Isozaki et al.	525	326.5	2/29/88
	AQ	3,547,848	12/15/70	Marsh et al.	260	22	11/3/67
	AR	4,311,622	1/19/82	Buter	260	18EP	1/31/80
	AS	5,576,386	11/19/96	Kempter et al.	526	88	1/28/93
	AT	5,969,054	10/19/99	Wamprecht et al.	525	392	7/7/97
	AU	5,977,246	11/2/99	Fenn	524	590	8/17/98
	AV						
	AW						
	AX						
	AY						

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 606; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

\*Applicant has modified this form by deleting the word "prior".



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(MODIFIED)US DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

Atty. Docket No. IN-5553

LIST OF ART CITED BY APPLICANT  
(Use sever of sheets if necessary)

In re Application of: RINK et al.

Serial No.: Herewith

Filed: Thursday, February 14, 2002

## FOREIGN PATENT DOCUMENTS

Examiner Initial		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AA	196 00 136 A1	10.07.97	DE	C09D	201/02		x
	AB	44 07 415 A1	07.09.95	DE	C09D	133/04		x
	AC	197 09 476 A1	06.11.97	DE	F16H	7/18		X
	AD	198 05 421 C1	02.06.99	DE	C09D	165/00		x
	AF	36 36 183 A1	03.03.88	DE	C09D	5/38		X
	AG	196 00 136 A1	10.07.97	DE	C09D	201/02		X
	AH	37 06 095 A1	27.08.87	DE	C08G	77/20		X
	AI	196 00 136 A1	10.07.97	DE	C09D	201/02		X
	AJ	198 05 421 C1	02.06.99	DE	C09D	165/00		X
	AK	44 07 415 A1	07.09.95	DE	C09D	133/04		X
	AL	27 51 761 A1	01.06.78	DE	C09D	5/04		X
	AM	1 805 693	28.10.68	DE	22g	5/04		X
	AN	38 07 571 A1	22.09.88	DE	C08L	83/07		X
	AO	2 359 923	20.06.74	DE	22g	5/04		X
	AP	44 21 823 A1	04.01.96	DE	C09D	175/04		X

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AQ	English Abstract DE19600136
	AR	English Abstract for DE19600136
	AS	BASF Corp. et al., PCT/EP99/06042, 18. August 1999, entitled: Hyperbranched compounds with a tetrafunctional central group and use of same", pages 1-56 and abstract on 2 pages.
	AT	English Abstract for DE196 00 136 A1

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							YES	NO
	AA	WO 00/014049	16.03.00	EP	C07C	69/0003		x
	AB	WO92/22615	23.12.92	EP	C09D	151/08	X	
	AC	WO94/22968	13.10.94	EP	C09D	133/06		X
	AD	WO97/12945	10.04.97	EP	C09D	5/04	X	
	AF	WO96/12754	02.05.96	EP	C08G	63/20	X	
	AG	WO93/17060	02.09.93	EP	C08G	63/02	X	
	AH	WO82/02387	22.07.82	EP	C08F	2/02	X	
	AH	WO95/27742	19.10.95	EP	C08F	18/04	X	
	AJ	28 48 906 A1	17.05.79	DE	C08F	20/18		X
	AK	195 24 182 A1	09.01.97	DE	C08F	212/08		X
	AL	WO96/20968	11.7.96	WO	C08G	18/40	X	
	AM							
	AN							
	AO							
	AP							

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

	AQ	English Abstract on cover page of International Publication No. WO 00/14049
	AR	English Abstract on cover page of International Publication No. WO 92/22615
	AS	English Abstract on cover page of International Publication No. WO 94/22968
	AT	

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	AB	0 624 577 A1	13.05.94	EP	C07D	251/70	X	
	AC	0 358 153 B1	04.09.89	EP	C09D	143/04	X	
	AD	0 038 127 A1	24.03.81	EP	B05D	7/26	X	
	AF	0 276 501 A2	26.09.87	EP	C11D	1/42	X	
	AG	0 245 700 A2	29.04.87	EP	C07D	251/54	X	
	AH	0 249 201 A3	10.06.87	EP	C09D	3/58	X	
	AI	0 192 304 B1	18.02.86	EP	C09D	5/04	X	
	AJ	0 531 249 A1	04.09.92	EP	C08G	18/65	X	
	AK	0 554 783 A1	28.01.93	EP	B10J	19/18	X	
	AL							
	AM							
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